

10/31/01  
jc960 U.S. PTO

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PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

101188-34

First Inventor

Kazuyuki Shinno

Title

Data Storage System

Express Mail Label No.

EL 867734447 US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, D.C. 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)

2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.

3. ☒ Specification [Total Pages **19**]  
(preferred arrangement set forth below)

- Descriptive title of the invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets **4**]

5. Oath or Declaration [Total Pages **23**]

- a. ☐ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)

i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).

6. ☒ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)

- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
  - ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
or its equivalent.
17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_ / \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_ Group / Art Unit \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

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or ☐ Correspondence address below

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Name (Print/Type)

Bruce S. Londa

Registration No. (Attorney/Agent)

33,531

Signature

Date

Oct. 31, 2001

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|   |  |                          |                 |
|---|--|--------------------------|-----------------|
| <b>FEE TRANSMITTAL</b><br>for FY 2002<br><br><i>Patent fees are subject to annual revision.</i> |  | <b>Complete if Known</b> |                 |
|   |  | Application Number       | TBA             |
|   |  | Filing Date              | Oct. 31, 2001   |
|   |  | First Named Inventor     | Kazuyuki Shinno |
|   |  | Examiner Name            | TBA             |
|   |  | Group Art Unit           | TBA             |
|   |  | Attorney Docket No.      | 101188-34       |
| TOTAL AMOUNT OF PAYMENT   |  | \$870.00                 |                 |

| METHOD OF PAYMENT  |  | FEE CALCULATION (continued)   |  |
|--|--|---|--|
| <b>1.</b> <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:<br>Deposit Account Number: <b>14-1263</b><br>Deposit Account Name: <b>Norris, McLaughlin &amp; Marcus</b><br><input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17<br><input type="checkbox"/> Applicant claims small entity status. See 37 CFR § 1.27 |  | <b>3. ADDITIONAL FEES</b><br>Large Entity Fee Code   Small Entity Fee Code   Fee Description   Fee Paid |  |
| <b>2.</b> <input type="checkbox"/> Payment Enclosed:<br><input type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input type="checkbox"/> Other  |  | 105 130 205 65 Surcharge - late filing fee or oath 130.00   |  |
| <b>FEE CALCULATION</b>   |  | 127 50 227 25 Surcharge - late provisional filing fee or cover sheet                                    |  |
| <b>1. BASIC FILING FEE</b><br>Large Entity Fee Code   Small Entity Fee Code   Fee Description   Fee Paid   |  | 139 130 139 130 Non - English specification   |  |
| 101 740 201 370 Utility filing fee 740.00  |  | 147 2,520 147 2,520 For filing a request for ex parte reexamination                                     |  |
| 106 330 206 165 Design filing fee  |  | 112 920* 112 920* Requesting publication of SIR prior to Examiner action                                |  |
| 107 510 207 255 Plant filing fee   |  | 113 1,840* 113 1,840* Requesting publication of SIR after Examiner action                               |  |
| 108 740 208 370 Reissue filing fee   |  | 115 110 215 55 Extension for reply within first month   |  |
| 114 160 214 80 Provisional filing fee  |  | 116 400 216 200 Extension for reply within second month   |  |
| SUBTOTAL (1) 740.00  |  | 117 920 217 460 Extension for reply within third month  |  |
| <b>2. EXTRA CLAIM FEES</b><br>Total Claims 10 -20** = 0 X Fee from below = 0.00<br>Independent Claims 1 -3** = 0 X Fee from below = 0.00<br>Multiple Dependent =   |  | 118 1,440 218 720 Extension for reply within fourth month   |  |
| Large Entity Fee Code   Small Entity Fee Code   Fee Description   Fee Paid   |  | 128 1,960 228 980 Extension for reply within fifth month  |  |
| 103 18 203 9 Claims in excess of 20  |  | 119 320 219 160 Notice of Appeal  |  |
| 102 84 202 42 Independent claims in excess of 3  |  | 120 320 220 160 Filing a brief in support of an appeal  |  |
| 104 280 204 140 Multiple dependent claim, if not paid  |  | 121 280 221 140 Request for oral hearing  |  |
| 109 84 209 42 ** Reissue independent claims over original patent   |  | 138 1,510 138 1,510 Petition to institute a public use proceeding                                       |  |
| 110 18 210 9 ** Reissue claims in excess of 20 and over original patent  |  | 140 110 240 55 Petition to revive - unavoidable   |  |
| SUBTOTAL (2) 0.00  |  | 141 1,280 241 640 Petition to revive - unintentional  |  |
| **or number previously paid, if greater; For Reissues, see above   |  | 142 1,280 242 640 Utility issue fee (or reissue)  |  |
|  |  | 143 460 243 230 Design issue fee  |  |
|  |  | 144 620 244 310 Plant issue fee   |  |
|  |  | 122 130 122 130 Petitions to the Commissioner   |  |
|  |  | 123 50 123 50 Processing fee under 37 CFR § 1.17(q)   |  |
|  |  | 126 180 126 180 Submission of Information Disclosure Statement  |  |
|  |  | 581 40 581 40 Recording each patent assignment per property (times number of properties)                |  |
|  |  | 146 740 246 370 Filing a submission after final rejection (37 CFR § 1.129(a))                           |  |
|  |  | 149 740 249 370 For each additional invention to be examined (37 CFR § 1.129(b))                        |  |
|  |  | 179 740 279 370 Request for Continued Examination (RCE)   |  |
|  |  | 169 900 169 900 Request for expedited examination of a design application                               |  |
|  |  | Other fee (specify) _____   |  |
|  |  | SUBTOTAL (3) 130.00   |  |

|                   |                    |                                   |               |
|-------------------|--------------------|-----------------------------------|---------------|
| SUBMITTED BY      |                    | Complete (if applicable)          |               |
| Name (Print/Type) | Bruce S. Londa     | Registration No. (Attorney/Agent) | 33,531        |
| Signature         | <i>[Signature]</i> | Telephone                         | 212-808-0700  |
|                   |                    | Date                              | Oct. 31, 2001 |

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**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): Kazuyuki Shinno

Docket No.

101188-34

Serial No.

TBA

Filing Date

Concurrently Herewith

Examiner

TBA

Group Art Unit

TBA

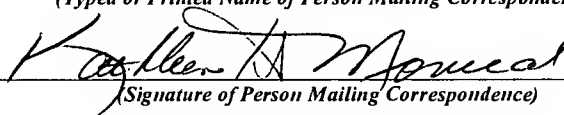
Invention: Data Storage System

I hereby certify that the following correspondence:

New patent application consisting of 19 pgs of specification and 4 sheets of drawings

*(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

Oct. 31, 2001*(Date)*Kathleen D. Monical*(Typed or Printed Name of Person Mailing Correspondence)**(Signature of Person Mailing Correspondence)*EL 867734447 US*("Express Mail" Mailing Label Number)***Note: Each paper must have its own certificate of mailing.**